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ABSTRACT

The Collection Analysis Project (CAP) was undertaken in response to one of the major recommendations of the University at Stony Brook Libraries' strategic plan. It is the first step in promoting the necessary change to bring collection management and development into conformity with accepted professional practice, and make it more responsive to the University's needs and priorities. A task force examined the Libraries' collection development program in relation to external factors, such as the publishing industry and technology, and to the mission and goals of the university. It was discovered that a number of actions were required to develop and maintain collections in support of academic and research programs. The report is composed of two major sections. The first is an overview which includes a shortened version of the interim report and identifies the institutional context. The second section consists of the synthesis of recommendations of the task force and the implementation strategy. Areas addressed in the project include: collection management organization, staffing, and training; collection analysis; funding and materials budget allocation; and preservation. The end result of the study is a list and explanation of 18 recommendations that address the major needs for change and provide the framework for its implementation. (MAS)

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COLLECTION ANALYSIS PROJECT

FINAL REPORT

OCTOBER 1993

CAP STUDY TEAM
Wanda Dole, Chair
Daniel Kinney
Charles Simpson
Dianne Stalker
Rosalind Walcott

University at Stony Brook Libraries
Stony Brook, New York
October, 1993

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DIRECTOR'S PREFACE

The Collection Analysis Project (CAP) was undertaken in response to one of the major recommendations of the Libraries' strategic plan.[1] CAP was seen by the Strategic Planning Team, and by me, as a crucial first step in promoting the necessary change to bring collection management and development at Stony Brook into conformity with the best accepted professional practice and thereby make it more responsive to the University's priorities and needs. The eighteen recommendations arising from the study are, in my opinion, right on target. They address the major needs for change and provide the framework for its implementation. I am impressed by the thoroughness and thoughtfulness of the work and I accept all eighteen recommendations with pleasure.

To insure that my intentions with regard to the eighteen recommendations are correctly understood, I will briefly comment on each of them:

1. Increase effectiveness of collection management program.

   This is a complex cluster of recommendations designed to improve the effectiveness of the collection management program. Especially important is the creation of a Collection Management and Development Committee, a small group of knowledgeable staff who will work closely with the Assistant Director in matters pertaining to management and policy.

   Other recommendations under this topic include: provision of collection management information (such as acquisition procedures, "new acquisitions" list, use data, and collection assessment data); and improvement of communication with selectors and library users.

   Implementation of the above package of recommendations will require the commitment of considerable resources, both financial and human. In keeping with their importance, I will assign a very high priority to making those resources available.

2. Develop ongoing training program.

   This recommendation relates to a major theme of the strategic plan, staff training and development,[2] and therefore gives it added importance.

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[1] Strategic Directions recommendation 4.

[2] Strategic Directions recommendations 34, 37, 40, 44, 46, etc.

3. Encourage ongoing collection assessment

This is an obvious need if the Library is to maintain a sound ongoing collection development program.

4. Complete the collection development policy.
5. Complete the Selectors Manual.
6. Complete Preservation Policies and Procedures Manual.
7. Investigate storage policies and procedures.
8. Identify and address policy issues relating to information access.

The preceding five recommendations identify basic policy and/or procedures statements that are needed to control and coordinate an effective collection management and development program. Once the statements are completed, they will be integrated, as appropriate, with other Library policies and procedures in an official manual.

9. Develop a written statement describing the allocation process and the criteria upon which allocation decisions are based.

10. Use objective data in distributing the Libraries' acquisitions and access budget among the various allocation units.

These are, perhaps, the study's two most difficult recommendations, but I believe they are also the most important. They prescribe a general method of reviewing and adjusting the historical allocations used for so long by the Library and of recording and communicating the review and allocation process to all constituencies. This will be an exceedingly sensitive undertaking and one that will require the understanding and support of higher University administration, especially the academic deans. I strongly agree that PBA (Percentage Based Allocation) is a useful and appropriate point of departure in conducting the analysis and adjustment. I also strongly agree that there are many other inputs that must be carefully weighed and factored in. One such that was not specifically mentioned in the report might be data from the OCLC/AMIGOS Collection Analysis System.

11. Reexamine the choice of allocation units and correlate disciplines with Library of Congress Classification numbers. Create a separate allocation unit for access to information.

This recommendation is important in that it provides for creation of a more understandable and realistic framework in which to categorize the Library's acquisition and access resources. It also permits collection of more useful management data.

12. Provide each fund with a single allocation for monographs and continuations.

This recommendation will permit more reasonable review and management of all resources allocated to a given discipline and, ultimately, will provide greater flexibility.

13. Establish a separate allocation to cover contingencies and special purchases.

If anything has been learned during the past year, it is that funding is needed to deal with unexpected problems or opportunities. Creation of a contingency fund for the purposes outlined in the recommendation is strongly endorsed. Allocations provided routinely by the University to support collection and access costs associated with new programs and newly recruited scholars also is something that should be explored.

14. Develop a mechanism for periodic review of the allocation process.

This is obviously necessary in order to keep the system of allocation responsive to the University's current needs and priorities. Also, it will help to develop arguments in support of realistic acquisition and access budgets.

15. Establish preservation priorities. Conduct a formal preservation needs assessment survey.

In view of the fact that the Stony Brook Libraries' preservation program has now been in operation for almost ten years, it is time to assess the situation and confirm or adjust the program's needs and priorities. This should be done on a continuing, periodic basis.

16. Establish a Brittle Books and Preservation Reformatting Program.

The increasing presence of embrittled and deteriorating material in the research collections clearly indicates the need for such programs and I support their creation.

17. Establish a Non-Print Committee to develop and implement policies for storage and use of non-print materials.

    This is very important to insure that this large and vital part of the permanent collections is appropriately safeguarded.

18. Improve housing of collections and environment in Melville Library to meet preservation standards.

    It is very important that we continue to make strong efforts to correct the really scandalous environmental conditions, not just in the Main Library, but throughout the library system. The fact that many of these matters, such as ventilation systems and construction defects, are not within the Library's direct control, makes solutions more difficult to achieve. The massive window, wall and roof replacement project, scheduled to begin in the Spring of 1994, will, however, correct a few of the most glaring environmental problems in the main building.

Implementation, review and evaluation of these excellent and extremely important recommendations must be carefully provided for. The Study Team's suggestion that they serve as a body to conduct the initial review in July, 1994 is accepted. I also ask that the Study Team remain continuously in session throughout the implementation period and, in fact, that it serve as the implementation committee for this initiative. The expanded charge of the Study team will be accompanied by an expanded name, the CAP Study and Implementation Team (CAPSIT).[3] If needed, I will of course be available to assist CAPSIT in its continuing work.

In closing I wish to thank members of the Study Team and the Task Forces for their excellent work in producing this important guide for the reorientation and revitalization of the collection development function at Stony Brook. My special thanks go to Wanda Dole for her effective leadership of this absolutely vital effort and to Dan Kinney, Charles Simpson, Dianne Stalker and Ros Walcott, who chaired the Task Forces.

John Brewster Smith
Director of Libraries and Dean

October 14, 1993

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[3] Charge to CAPSIT: In consultation with Administrative Council, serve as the implementation team for CAP recommendations and as the reviewing body to evaluate the first year's progress.

TASK FORCE MEMBERS

Task Force on Funding and Materials Budget Allocation
- * Daniel W. Kinney, Chair
- Dennis A. Andersen
- Sherry S. Chang
- Donald C. Cook
- Amelia Salinero

Task Force on Collection Management, Organization and Staffing
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- Nathan Baum
- Linda Plunkett
- Paul Wiener

Task Force on Collection Analysis
- * Rosalind Walcott, Chair
- David Allen
- Barbara Brand

Task Force on Preservation
- * Dianne Stalker, Chair
- Bushra Butt
- Diane Englot
- Mary Ficuciello
- Gisele Glover

* Member of CAP Study Team

INTRODUCTION

This Final Report completes the study and planning phase of SUNY Stony Brook's Association of Research Libraries (ARL) assisted Collection Analysis Project (CAP) and sets the stage for the implementation phase.

The Collection Analysis Project itself is the result of the 1991/92 Strategic Planning effort during which Stony Brook faculty and staff spent almost a year studying key issues. A Collection Development Task Force examined the Libraries' collection development program in relation to external factors and to the mission and goals of the University. This task force concluded that a number of actions were necessary to insure that Stony Brook develop and maintain collections in support of academic and research programs.

The task force submitted twelve recommendations to the Strategic Planning Study Team; all of these recommendations were accepted for implementation immediately or in the next two to five years. The Study Team and Implementation Team recognized the importance of the recommendation to carry out the ARL Collection Analysis Project "to identify strengths and weaknesses in the collections and in the Libraries' organization for collection development" and gave its approval for initiation of the CAP.

John Brewster Smith, Director and Dean of the SUNY Stony Brook Libraries, contacted ARL and in October 1992 ARL consultant Jutta Reed-Scott made an initial site visit to explain the CAP to all staff and to meet with the CAP Study Team. During the initial phase of CAP (October - December 1992), the Study Team reviewed background studies and discussed the key issues raised by the Strategic Planning Collection Development Task Force: organization for collection development, collection analysis, budget allocation, and preservation.

In December 1992, the Study Team prepared an interim report that covered (1) historical development of the collections and (2) internal and external factors which have a major impact on the SUNY Stony Brook Libraries. These factors included the economy, publishing and pricing trends, technology, access to information, resource sharing, and preservation. The interim report also identified long-standing problems in the collection management and development process and set the direction for further study.

During the second phase of CAP (January - May 1993), task forces[1] were established in the areas of collection management organization and staffing, collection analysis, funding and materials budget allocations, and preservation. Each task force was responsible for collecting and analyzing data in its field and identifying optional approaches to critical issues facing the Libraries. The final reports of the task forces are available from the Library Director's Office.

The goal of the coordinated Study Team/task force effort was to:

- clarify collection management philosophy and objectives
- determine the most effective use of resources for meeting the objectives
- improve the effective use of resources for meeting the objectives.

From May to July 1993, the Study Team reviewed, synthesized and adapted the final reports of the four task forces to produce this final report. The report is composed of two major sections. The first is an overview which includes a shortened version of the interim report and identifies the environment in which the SUNY Stony Brook Collection Management Program must function. The second major section of the final report consists of the Study Team's synthesis of the recommendations of the task force reports and the implementation strategy.

The analysis and evaluation of the Libraries' collection management program have convinced us that some structural changes must be made and that some new mechanisms must be developed to meet the increasingly complex information needs of the SUNY Stony Brook Community.

The Study Team thanks the many individuals who were instrumental in the completion of this report. John Brewster Smith, Dean and Director of Libraries, urged us to undertake the project and consistently gave strong encouragement and

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[1]Collection Analysis Projects at other universities have also established task forces in areas of technology and access/resource sharing. Since the SUNY Stony Brook Libraries have standing committees charged to investigate and make recommendations concerning these two areas the Study Teach chose not to appoint task forces.

valuable advice. The members of the four task forces contributed skilled analysis, long hours, and enthusiastic commitment to the project goals. The entire SUNY Stony Brook Library staff deserves our warmest thanks for their patience and support. Jutta Reed-Scott provided expertise and guidance throughout the project.

I. OVERVIEW

A. INSTITUTIONAL CONTEXT

Stony Brook is a young public research university. Its missions are directed toward education (undergraduate, graduate and professional), research (including artistic performance and professional contribution), and health care. Its organization, while reflecting some of the unique characteristics of the institution, is not unlike that of many research universities of similar size.

The Stony Brook campus functions within the larger bureaucracies of the State University of New York and the State of New York. Bureaucratic problems, including delays and lack of responsiveness, are not unusual.

The vast majority of undergraduate students at Stony Brook are drawn from Long Island and the New York metropolitan area. Instruction is offered to undergraduates in 46 academic majors and 44 minors. There is a perception on the part of some, both outside the University and within, that undergraduate education has been neglected in favor of graduate programs and research. There is concern about this perception and considerable emphasis is now given to the improvement of undergraduate programs in order to attract and retain better quality students and in order to maintain enrollment targets.

Graduate programs at the masters and doctoral levels are offered in more than 67 areas. Graduate students are drawn from national and international pools. Sixteen percent are citizens of foreign countries, ten percent are members of U.S. minority groups and fifty-six percent are women.

Sponsored research is an important part of the Stony Brook scene, with about $76.1 million budgeted in 1991-92. Paradoxically, although sponsored and supported by New York State, only about twenty-two percent of Stony Brook's budget comes from direct state appropriation. The remainder comes from a variety of sources, most importantly, grants from the federal government.

B. CURRENT COLLECTION MANAGEMENT PROGRAM

1. COLLECTION HISTORY

Stony Brook is very young when compared to most other university research libraries. When admitted to the Association of Research Libraries in 1975, it had been in existence less than twenty years. Now, at age 36, it is firmly established as one of the 107 largest university libraries in America.

The institution which is now the State University of New York at Stony Brook was established in 1957 as the State University College on Long Island at Oyster Bay, at Planting Fields, the arboretum-estate of William R. Coe. Its original mandate was limited to training teachers of mathematics and science for secondary schools and community colleges. Only two and one-half years after its founding it was designated a university center within the State University of New York system and its name was changed to the Long Island Center of the State University of New York, reflecting an extension of its mission to include a full range of undergraduate and graduate programs through the doctorate in the humanities, social sciences, sciences, and engineering. According to the 1960 Master Plan for the State University, educational programs for the professions and other specialized areas other than engineering were to be added later. In 1962 the Long Island Center was moved to its present location and was renamed the State University of New York at Stony Brook.

The rapid development from small liberal arts college to a full-fledged university, the changes in mandate and educational philosophy, and physical shifts and relocations were major factors in determining the pattern of growth not only of the University, but also of the Library and its collections and services. While the Library was in Oyster Bay, attention centered on collecting basic materials, establishing policies and procedures, planning a new building for the Stony Brook campus and recruiting and training a staff. The institutional mandate to train teachers of science and mathematics was supported by an aggressive acquisitions program in the sciences. During the Oyster Bay period the question of departmental libraries for the sciences was raised and resolved in favor of a decentralized system. Since space assigned to library purposes in the main building on the Oyster Bay campus was inadequate for the total collection, selected science materials were housed near the science departments. In this way, the first departmental library had been established. When the program for the chemistry building for the Stony Brook campus was written, a departmental library was included in the plans. Subsequently, as programs for science buildings--except for the first biology building--were written, they too included specifications for departmental libraries. As a result, the main library system now has

departmental libraries for chemistry, mathematics-physics, engineering, earth and space sciences, biology, computer science, and marine and atmospheric sciences.

By the mid-1960s annual budgets for library materials were increased to almost $1 million to support new and developing programs, particularly at the graduate level. The acquisitions program broadened in scope to include in-depth purchase in a wide variety of fields. In many instances the acquisitions centered on, or were enhanced by, lot purchases or gifts of varying importance. Standard editions of English and American authors and selections of secondary materials and contemporary trade books formed the bulk of the collection. Purchase of a number of collections with broad subject coverage enhanced the quality of the Libraries. The best example of this type of purchase was the Lindmark Collection, which totaled approximately 60,000 volumes and represented the collecting activities of a New York book dealer

The emphasis on collection development seemed to be an overriding concern of the University and Library administrations during the 1960's and 1970's. During this period the Library acquired the bulk of its microform collection, which now surpasses the book collection in title count. A collection development staff appointed during the late 1960s was assigned responsibility for coordinating the selection and acquisition of material for specified subjects. A special collections program started in 1969 focused attention on acquiring and organizing collections whose subject, format, or content required special treatment.

2. COLLECTION GROWTH

In thirty-six years the collection has grown to over 1.5 million volumes, three million microforms, and 118,000 maps. Purchased serials titles number 8,060. During the period 1982 -1992, the Acquisitions and Access budget has increased 110%, the total number of volumes has increased 31%, and the number of microforms increased 55%. Paid serials subscriptions decreased 7%. The percentage of the total Acquisitions and Access budget spent on serials over the past nine years has ranged from 44% to last year's (1992/93) high of 67%; the nine-year average was 53%. Over the past seven years, the percentage of the Acquisitions and Access budget spent on materials as opposed to access has ranged from 83% to 91% reflecting changes in automation and binding costs. For example, the NOTIS automated system was purchased in 1987 and, in recent years, most binding expenditures and all Online Computer Library Center (OCLC) cataloging costs (together totalling as much as $175,000 per year) were paid from the Acquisitions and Access budget. This was the result of the elimination of the Libraries' Equipment Replacement Fund and of other sources of funding for equipment.

In 1970/71 the average price per volume acquired was $9.67, a year in which 91,983 volumes were purchased. By 1977/78 the average price had risen to $22.10, in 1983/84 to $36.38, and 1991/92 to $71.13. This represents an increase in per volume cost of 635 percent while the Acquisitions budget has risen only 241 percent.

Following the tremendous collecting activity of the 1960's and '70's, the past ten years have seen a leveling off in adding to the collection. Although the Acquisitions and Access budget increased by 136 percent over the past ten years, various factors have created a flat growth rate. These have included general inflationary pressures, the pricing policies of certain science, technology, and medical publishers, and the weakening position of the dollar against Western European currencies.

Future prospects would indicate, at best, a continued flat growth rate with fewer serials titles. At worst, purchases will need to be curtailed in subject areas not considered highest priority by the university.

3. ACCESS AND RESOURCE SHARING

Since 1985, Stony Brook's borrowing via interlibrary loan increased nearly 40 percent and its lending over 45 percent. Mediated interlibrary loan services will continue to be provided by SUNY Stony Brook for material not readily available to the scholar. To supplement these traditional services in the future, scholars at Stony Brook will choose from a range of services to identify and access material not in the Library's collections. They will utilize citation, full text, and abstracting databases, online catalogs of other libraries, and national bibliographic databases.

A number of agreements have been forged in the areas of access to other collections by Stony Brook patrons, Stony Brook borrowing privileges granted to non-affiliated users, and interlibrary loan arrangements. These include the SUNY-sponsored open access policy which extends borrowing privileges to students, staff and faculty of other SUNY campuses and community colleges, the Research Loan Program provides borrowing privileges for graduate students upon referral by the patron's "home" library, borrowing privileges for graduate students from institutions offering borrowing privileges to Stony Brook graduate students, and research staff at Brookhaven Laboratories. By virtue of our membership in the Research Libraries Group (RLG), Stony Brook faculty and graduate students may have access to other RLG libraries such as Columbia and New York University. Our interlibrary loan arrangements include those with RLG, OCLC, and the Long Island Library Resources Council (LILRC).

4. PRESERVATION PROGRAM

Between 1984 and 1985, the SUNY Stony Brook Libraries completed a self-study program, coordinated by Association of Research Libraries/Office of Management Services (ARL/OMS), to determine preservation needs and priorities. The Study Team documented the need for a Preservation department. A comprehensive Conservation/Preservation program was implemented at SUNY Stony Brook in 1985. Partial funding for this program is provided by a New York State grant. The staffing of the department has remained the same since 1985, with one professional and three full-time bookbinding technicians.

Although Stony Brook is a young institution, the Libraries suffer from the problems of "aging." Older materials, acquired by block purchase during the early years of the Libraries, are in a poor state of preservation and require attention as do materials currently acquired from third world countries. Mutilation and use also take their toll on the collection.

The preservation program presently focuses on book repairs performed in-house in conjunction with commercial binding services and construction of basic phase boxes. An expansion of preservation activities will better support the goal of permanent availability of all library materials.

C. IMPACT OF EXTERNAL DEVELOPMENTS

Collection management is affected by various external factors, chief among which are the economy, the publishing industry, and rapidly changing technology.

1. PUBLISHING

BOOKS: The output and pricing of North American academic publishers have continually increased dramatically over the last decade. The average price per book increased slightly from $44.19 in 1989-90 to $46.53 in 1990-91 (Bowkers Annual: Library and Book Trade Almanac). 37th edition, 1992, Table 4, p. 486-487). The average price of books included in the Blackwell North America Approval Program increased from $45.63 in 1991 to $51.32 in 1992, an overall increase of 12.5 percent (the average increase in the previous three years ranged from 4 to 7 percent). In 1992, the average price of approval books originating in the United States rose to $42.25, an increase of 10.3 percent over the 1991 average of $38.32. The average price for approval books originating in the United Kingdom increased 10.9 percent to $58.50 in 1992 (1991 average: $52.76), while foreign titles originating outside the U.K. cost an average of $82.80, or 11.3 percent more than the 1991 average of $73.86 (Blackwell North America Approval Program Coverage and Cost Study), 1991/92.

The output of British academic publishers decreased in 1991 after increasing slightly from 1989 to 1990: 1989, 10,678 titles; 1990, 11,276 and 1991, 10,561 (Bowker Annual 1992, Table 10, p. 497). The average price increased from £26.17 in 1989 to £32.06 in 1991 (Bowker Annual, Table 10).

German academic publishing also showed a decrease in the number of titles (1990, 18,760; 1991, 15,627) and an increase of 2.8 percent in the average price (1990, DM 55.93 and 1991 DM 57.48). (Bowker Annual, 1992, Table 10).

SERIALS: Libraries are devoting an ever-increasing percentage of their total materials budgets to serials because of the continued increase in the cost of serials. Ann Okerson, Director of ARL's Office of Scientific and Academic Publishing, reported that a September 1991 Quick-SPEC survey of ARL libraries showed that 63% of the 88 libraries responding expected to cut monographic purchases ("Monographic and Serials Purchasing in 1992 Projected to Decline Again," ARL: A Bimonthly Newsletter of Research Library Issues, No. 159, November 12, 1991, p. 8).

Serial prices have increased alarmingly over the last decades. In 1991 the average price for periodical titles in all subjects was 424.4% higher than in 1977 ($104.36 v. $24.59). Engineering, Chemistry and Physics, and Sociology and Anthropology were among the subjects with the highest increases in average price from 1990 to 1991 (15.3 percent,

14.6 percent, and 14.3 percent respectively). The average price increased 9.5 percent in 1989 and 1990, and in 1991 there was an 11.7 percent increase over the 1990 average price (Bowker Annual, 1992, Table 1, p. 483) and p. 490). Because of the decline of the U.S. dollar in 1992, many American academic and research libraries experienced a 22-30 percent increase in 1993 subscription prices (At Your Service, No. 22, September 1992, p. 1).

Fifty (63%) of the ARL libraries responding to the September 1991 Quick-SPEC survey reported that they planned serials cancellations. Cancellations planned average approximately $140,000 per the 50 institutions that reported specific target figures, a combined total of just under $7 million ("Monographic and Serials Purchasing in 1992 Projected to Decline Again," ARL, #159, November 12, 1991, p. 8).

Trends and Projections

Book vendors warn that the decrease in monographic purchasing by U.S. libraries may lead to an increase in the average cost per title. Decreased demand will result in fewer titles being published, but publishers' fixed costs will remain the same. The decline in sales to U.S. libraries may be offset by an increase in foreign sales (especially to the Third World and former Eastern Bloc libraries which have pent-up demand)--this could help to keep the average price per title down.

Rising subscription costs and static or decreasing materials budgets will force libraries to cancel journals. The cancellations may result in even higher prices per title as journal publishers try to recover their fixed costs. Many of the acquisitions of scholarly journals by commercial presses during the 1980's were expensive buy-outs; the commercial presses have been trying and will continue to try to recoup their losses.

2. TECHNOLOGY

New technologies affecting collections will center on electronic publishing, innovations in resource sharing, and enhanced access to full-text materials not owned by the Libraries. Library users will have access to a variety of databases containing citations, abstracts, tables of contents, back-of-book indexes, full-text, and local and national library catalogs.

A number of full-text journals will be available for browsing and downloading. For journal articles not available online, scholars may contact fast document delivery services directly. Costs will be chargeable to grants or personal accounts. Online tables of contents and back-of-the-book indexes will give scholars information about the relevance of a particular book to their research. Once a book or article

is identified as useful, if Stony Brook doesn't own it, the scholar can request it directly from one of the other SUNY university centers via PACLink. Full-text image databases mounted locally on CD-ROM may be acquired for high-use materials as a supplement to local collections.

D. CONCLUSIONS

The SUNY Stony Brook Collection Management Program is shaped and influenced by internal and external factors described above. The Collection Analysis Project Study Team attempted to identify the most important of these factors and offer recommendations for dealing with them.

The Study Team reviewed and updated the analysis of the major internal and external factors identified by the Libraries 1991/1992 Strategic Planning effort (Strategic Directions, 1992 - 1997: A Plan for the University at Stony Brook Libraries, p. 1):

- rapid technological change
- declining or static library budgets
- rising cost of library materials
- increasing demand for information and services.

In addition to these factors, the Study Team found that Collection Management faces the following challenges:

- changing nature of higher education
- increased competition for funding within the University
- increased demand for accountability within the University.

Realizing that Collection Management must function within an environment shaped by these factors, the Study Team has built on the work of the Strategic Plan and developed recommendations that will work in the Stony Brook setting. The next portion of this report, therefore, presents these recommendations as part of a Strategic Plan for a rational and effective Collection Management Program for the SUNY Stony Brook Libraries.

II. RECOMMENDATIONS

A. ORGANIZATION AND STAFFING

A number of recommendations are made for operational practices, enhancement of communications, training, and collection maintenance. No changes, however, are recommended for the organizational or administrative structure with the exception of a Collection Management and Development Committee to assist the Assistant Director for Collection Management and Development in various tasks. These are discussed in detail below:

1. Increase Effectiveness of Collection Management Program

A. Collection Management and Development Committee

As an adjunct to the full group of selectors, create a task-oriented Collection Management and Development Committee. It will consist of four regular members appointed by the Director of Libraries and will be chaired by the Assistant Director for Collection Management and Development. Additional members can be appointed as needed as **ad hoc** resource persons.

The Collection Management and Development Committee will assist the Assistant Director for Collection Management and Development in performing specific tasks, represent the selectors at large in these endeavors, and in general assist in the mission of collection development in such tasks as:

- Monitoring the collection management and development program
- Reviewing, maintaining and updating collection development policy statements
- Preparing and reviewing policies and procedures
- Maintaining the Selectors Manual
- Reviewing methods of collection assessments and evaluations and their results
- Reviewing fund allocation process
- Reviewing ratio of monograph and serials expenditures
- Advising on serial review and other projects

- Meetings would be held regularly. At the end of two years, evaluate the committee's role and effectiveness and recommend that it be either continued or dissolved.

Timetable: 1993
Refer to: Director of Libraries; Assistant Director for Collection Management and Development
Cost: Staff Time

B. Provide Collection Management Information

Provide written acquisitions procedures to selectors.

Timetable: 1993
Refer to: Assistant Director for Collection Management and Development; Heads of Bibliographic Access Services and Serials/Acquisitions Departments
Cost: Staff Time

Utilize NOTIS acquisition system to generate "new acquisitions" lists.

Timetable: 1993
Refer to: Head, Serials/Acquisitions Dept.
Cost: Computer time and printing charges; staff time

Utilize NOTIS and other automated systems to generate objective library use data for each subject such as circulation and interlibrary loan statistics.

Timetable: 1994
Refer to: Head, Circulation Services; head Interlibrary Loan Dept.
Cost: Computer time; staff time

Establish and maintain a file in the Director's Office of all materials pertinent to collection assessment activities. All future assessment activities shall be documented fully by adding to this file. Selectors shall be made aware of the existence of this file and the importance of documenting all assessment activities for future use. The file shall be made available for consultation by all members of the Library staff.

Timetable: 1993-
Refer to: Assistant Director for Collection Management and Development
Cost: Staff time

C. Improve Communication

Provide All-in-1 (electronic mail) access for all selectors to facilitate communication.

Timetable: 1993
Refer to: Director of Libraries
Cost: Staff Time

Routinely inform selectors of unexpected situations affecting their allocations, orders, and other work flow.

Timetable: 1993
Refer to: Assistant Director for Collection Management and Development; Heads of Bibliographic Access Services and Serials/Acquisitions Departments
Cost: Staff Time

Publish a column in a library newsletter containing collection development information (consider also as an online newsletter in All-in-1).

Timetable: 1994
Refer to: Director of Libraries; Assistant Director for Collection Management and Development
Cost: Staff Time

Provide a "how to order library materials" handout intended for faculty and students. Include a copy in the Selectors Manual.

Timetable: 1993
Refer to: Assistant Director for Collection Management and Development; Head, Serials/Acquisitions Dept.
Cost: Staff Time

2. Develop Ongoing Training Program

Develop a formal training program for new selectors.

Timetable: 1995
Refer to: Assistant Director for Collection Management and Development
Cost: Staff time

Provide all new selectors with an orientation to acquisitions procedures in the Serials/Acquisitions and Bibliographic Access Services Departments.

Timetable: 1993
Refer to: Head, Serials/Acquisitions Department; Head, Bibliographic Access Services Dept.
Cost: Staff Time

3. Encourage Ongoing Collection Assessment

As outlined in the Selectors Manual, conduct formal collection evaluations for each subject every five years (or sooner if required by an accreditation review).

Timetable: 1994
Refer to: Assistant Director for Collection Management and Development
Cost: Staff time

B. POLICIES AND PROCEDURES

Recommendations focus on the need to complete, establish, document, and/or disseminate policies and procedures affecting various aspects of collection management and development. These are required both to document existing practices and to accommodate changes stemming from new technology, space requirements, etc.

4. Complete the Collection Development Policy. In addition to other policies, include policies for weeding and electronic information/access/document delivery (see also below).

Timetable: 1994
Refer to: Assistant Director for Collection Management and Development; Committee on Information Resources and Technology
Cost: Staff time

5. Complete the Selectors Manual. In addition to other policies, include policies for the following:

Lost, missing, and withdrawn items; insure that selectors are part of the information loop for these items including those stemming from preservation needs.

Storage (especially for branch materials; see below)

Restricted access areas and other storage options for Main Library materials

Timetable: 1994
Refer to (as appropriate): Assistant Director for Collection Management and Development; Heads of Bibliographic Access Services and Circulation Services; Heads of Preservation and Special Collections Departments.
Cost: Staff Time

6. Complete Preservation Policy and Procedures Manual.

As recommended by the Strategic Plan, add the Preservation Policy Statement and Brittle Books Policy to the Preservation Manual. Polices and procedures developed by the Non-Print Committee should also be included.

Timetable: July 1994
Refer to: Preservation Librarian
Cost: Staff Time

7. Investigate storage policies and procedures.

Investigate policies for remote storage of library materials and procedures for retrieval of materials in storage. Place the storage policies in the Selectors Manual.

Timetable: 1994
Refer to: Associate Director for Reader Services; Assistant Directors for Technical and Access Services and Science Libraries.
Cost: Staff Time

8. Identify and address policy issues relating to information access.

The Libraries must review policies and practices relating to charging for information access with the objective of establishing an equitable system of charging for interlibrary loan, information access, and document delivery services. Note that this is also a recommendation of the Strategic Plan.

Timetable: July 1994 and ongoing
Refer to: Head, Interlibrary Loan Dept.; Committee on Information Resources and Technology; other staff as appropriate
Cost: Staff Time

C. FUNDING AND ALLOCATION

The Libraries' strategic plan acknowledges the importance of continuing reevaluation of the process and procedures for allocating resources. One goal of the Collection Analysis Project was to analyze the Libraries' budget process and propose alternatives that could form the basis of a new policy for allocating the acquisitions and access budget. After assessing the strengths and weaknesses of current practice, it was clear that the present system's failings were due to its inability to adapt to changes in the University's academic and research programs and respond to new technologies and rapid price inflation for library materials. While the need for increased funding for library acquisitions is obvious, the recommendations that developed from the Collection Analysis Project should be applicable to the Libraries' budgeting process regardless of levels of funding. The recommendations presented below constitute an integrated budgeting process that seeks to correct the weaknesses identified in the analysis of current practice and correlate the Libraries' distribution of resources with the University's instructional and research emphases. The recommended process aims at fairness and impartiality by basing allocation decisions as much as possible on objective data.

9. Develop a written statement describing the allocation process and the criteria upon which allocation decisions are based.

The Libraries should have a written statement describing the allocation process and the criteria applied in allocating the library materials budget. The statement should reflect the recommended policies for purchasing electronic media, distributing the contingency fund, and managing costs relating to information access. It should also contain a summary of the methods and sources used for determining publication output, average price per volume, inflation, and fluctuations in currency, as well as an outline of the mechanism for yearly review of the process. A document explaining policies and procedures would facilitate the fair and consistent application of criteria for allocating funds and help in communicating and justifying decisions by making the Libraries' allocation criteria public knowledge. The document might also have appendices providing information on University regulations for encumbering funds, definitions of the terminology used in the allocation and acquisitions processes at Stony Brook, a list of personnel to contact for help with problems, and a calendar of deadlines. A written statement would be a means of comparing and relating the Libraries' allocation process and collection development goals and would also serve as a basis for evaluating and improving policies and procedures.

Timetable: May 1994
Refer to: Assistant Director for Collection Management and Development and a collection development committee
Cost: Staff time

10. Use objective data in distributing the Libraries' Acquisitions and Access budget among the various allocation units.

The Libraries should use standardized, objective, quantitative data in determining the relative need for resources among the different funds and disciplines, and each discipline should be given an allocation based on the same criteria to ensure equity and comparison among allocation units. Three categories of objective data are mentioned in the literature on budget allocation: (1) factors relating to the university and library users, (2) measures of library use, (3) publishing output and cost of the literature in a specific discipline. Librarians have used these factors as variables in devising formulae aimed at quantifying allocation decisions.

No panacean formula for constructing a fair and equitable budget was identified. Most formulae are too constrictive, and the choice, application, and weighing of variables are often arbitrary and subjective. Moreover, it is not possible to quantify the historical and political factors relating to the local environment. Percentage based allocation (PBA), however, would provide a good starting point for identifying possible imbalances and inequities in the Libraries' allocations.

PBA is a method by which the percentage of the library's budget allocated to each discipline is equal to the percentage of the total university budget for instruction and departmental research received by the corresponding academic unit (David C. Genaway, "PBA: Percentage Based Allocation for Acquisitions: A Simplified Method for the Allocation of the Library Materials Budget." Library Acquisitions: Practice & Theory 10 [1986]: 287-292). All of the factors relating to the university and library users have presumably been applied and weighted by the university administrators; therefore, the allocations arrived at are pragmatic and politically defendable in that they reflect the university's strengths and goals as determined by the university administration.

It is not recommended that allocations be based solely on PBA. While PBA may assist in determining the amount of support needed for subjects and interdisciplinary programs, it is not practical for allocating funds to library departments, and it does not account for publication output and cost, or for differences in need and demand for library materials among the various disciplines. These are important factors that should be included in determining allocations. The Libraries should run and analyze NOTIS circulation and acquisition reports to obtain data on library use and to calculate circula-

tion/holdings and circulation/acquisitions ratios by subject categories as a measure of need and demand for library materials. Interlibrary loan statistics are also indications of strengths and weaknesses in the collections.

After the NOTIS serials subsystem is operational, the Libraries should devise a method for monitoring inflation and fluctuations in currency. When projections for the forthcoming year have been received, inflation rates and currency fluctuations for serials should be examined. If increases in the materials budget do not keep pace with inflation, and assuming (1) that the inflation rate for serials and other ongoing expenses is higher than the rate for new materials and (2) that it is desirable to maintain a constant ratio between the two, then serials and other standing orders should be canceled. There should be some leeway regarding the monographs to serials ratio within individual subject areas. If advisable, monies from a contingency fund may be used for unforeseen currency erosion and/or unanticipated growth in inflation.

The Libraries must also continue to collect and examine data on the University and its curriculum as a control and verification of PBA.

Timetable: May 1994
Refer to: Assistant Director for Collection Management and Development
Cost: Staff time

11. Reexamine the choice of allocation units and correlate discipline with Library of Congress Classification numbers. Create a separate allocation unit for access to information.

The structure of the budget and the selection of allocation units need to be reexamined. Allocation units should be by discipline, and relevant class numbers from the Library of Congress Classification should be associated with each allocation unit for the purposes of collection analysis and obtaining management data through the NOTIS system. The allocation units for library departments and interdisciplinary programs should be retained, but the funds for maps and audiovisual materials should be reexamined in view of the proposals in the Libraries' strategic plan to combine audiovisual services and the map section with other service units. The allocation for general periodicals and newspapers needs to be reviewed as well. The replacement and general/interdisciplinary allocations should be eliminated and used to form the basis of the recommended contingency fund. The budget should include a separate allocation unit for access to information (e.g., database searching, document delivery, interlibrary loan, etc.) in order to facilitate the management and monitoring of expenditures.

The management data that can be obtained by correlating LC classes with allocation units whenever possible will

reflect the organization of the Libraries and be useful in identifying the needs of users, planning, establishing priorities, and relating the allocation of acquisitions funds to the Libraries' collection development policies and the University's curriculum and research goals.

The LC Classification is the means of providing systematic order across the disciplines that is necessary for collection development, preservation, and resource sharing. By correlating allocation units and their corresponding NOTIS fund records with LC classes, the Libraries would be able to relate the management reports generated for each module of the NOTIS system. The LC Classification would also provide a flexible basic framework for modifying allocation units in response to developments and shifting emphases in the University's curriculum.

A document should be designed that summarizes the Libraries' allocation process by presenting the disciplines with their NOTIS fund codes, the principal LC classes applicable to each allocation unit, the amount of the allocation, the percentage spent on serials, and the selector responsible for each fund.

Timetable: May 1994
Refer to: Assistant Director for Collection Management and Development and a collection development committee.
Cost: Staff time, cost of customization and running of NOTIS reports

12. Provide each fund with a single allocation for monographs and continuations.

Each discipline should be given a single allocation that would include funding for firm orders, approval plans, current periodicals, and standing orders, regardless of format (CD ROMs, data tables, films, videos, replacement copies). After the 1993 serials cancellation project, the Libraries should determine the proportion of the overall library materials budget to be spent on continuations. When the set figure is reached or exceeded in a discipline, it should trigger a review, and if needed, the Assistant Director for Collection Management and Development and the selector can decide on an appropriate ratio for that subject and the necessary actions to be taken.

Serials subscriptions in each discipline should be divided into categories that are ranked in importance. Consultation with academic departments, the data from the CLR study, and the evaluations of journal subscriptions completed by the faculty for the current cancellation project can be used to formulate a ranked list of journals for each subject.

Timetable: May 1994
Refer to:: Assistant Director for Collection Management and Development and a collection development committee with administrative approval
Cost: Staff time

13. Establish a separate allocation to cover contingencies and special purchases.

The Libraries should have an unallocated fund to provide for new courses and programs, fluctuations in exchange rates, inflation, and other contingencies. A moderate but workable contingency fund could also be used to strengthen weaknesses in the collections, obtain interdisciplinary materials, help selectors to make one-time purchases of items that they would be unable to acquire through regular allocations, and provide extra funding for electronic publications.

In addition to the contingency fund, the Study Team suggests that the Libraries seek extra funding from the University to cover start-up costs for new programs and newly recruited preeminent faculty. The University routinely accepts start-up costs for equipment and laboratory facilities when recruiting new science faculty, and it follows that the University would want to remain competitive and be able to assure all prospective faculty that it will provide adequate library funding to support their specialized research. In its strategic plan, the University of Iowa formally recognizes library funding as part of the recruitment process, and similar efforts are underway at the University of Connecticut and elsewhere (Norman D. Stevens, "Faculty Start-up Costs and Library Support." College and Research Libraries News 52 (1991): 492). Stony Brook already set a precedent for this with Leo Treitler, who accepted a position at the University with the proviso that additional funding would be provided to the Music Library. Extra funding for rapid information delivery and new technologies will benefit faculty in all disciplines and better enable them to compete for grants and publish research.

The Libraries will need to decide on a viable percentage of the budget to keep in an unallocated fund (e.g., five percent) and establish policies and guidelines and set a timetable for administering and distributing the contingency fund.

Timetable: May 1994
Refer to: Assistant Director for Collection Management and Development and a collection development committee with administrative approval
Cost: Staff time

14. Develop a mechanism for periodic review of the allocation process.

The Libraries should establish a mechanism for reviewing the process of allocating the Acquisitions and Access budget. Every year, the Assistant Director for Collection Management and Development should re-examine past budgets and review the criteria that determined allocations.

Factors to be reexamined include:

1. The University's current I. & D.R. budget. The current year's figures should be compared with the previous year to determine changes in program funding, as well as funding for new programs and possible elimination of programs.
   a. The development of new programs may require the establishment of new funds or funding increases in existing categories.
   b. The elimination of programs should lead to the reduction or elimination of funding for specific allocation units.

2. Circulation statistics for the various disciplines.

3. Interlibrary loan statistics tallied by discipline.

4. The price of materials and publication output in each budget category.

5. The cost of access services versus direct ownership of materials.

6. The percentage of the overall library materials budget held in a contingency fund.

7. The cost of electronic media.

After the review of the budget process is completed, the Assistant Director for Collection Management and Development and the collection development committee should articulate the Libraries' needs for increased funding and communicate these to the Administrative Council.

Timetable: May 1995
Refer to: Assistant Director for Collection Management and Development with selectors
Cost: Staff time

D. PRESERVATION

One goal of the Collection Analysis Project was to analyze the strengths and weaknesses of the Libraries' current preservation practices in relationship to the Collection Management Program, the mission of the university, and national preservation goals. The assessment of current practices led to the following recommendations for expansion of the scope of preservation activities to include reformatting and treatment of non-print materials.

15. Establish Preservation Priorities. Conduct a formal Preservation Needs Assessment Survey.

A. Revise and Update the Preservation Five-Year Plan.

Revise and update the Plan to reflect changes in Libraries' preservation needs and in preservation technology. Include description of proposed new activities such as reformatting and changes in organization necessitated by these activities.

Timetable: July 1994
Refer to: Preservation Librarian
Cost: Staff time

B. Conduct the Research Libraries Group (RLG) Collection Needs Assessment Survey of the Stony Brook Libraries.

No formal proactive assessment of preservation needs has been conducted on a system-wide basis. Currently, library circulation staff identify materials in need of repair when these materials are returned from circulation. A proactive collection assessment of the collections in the Melville Library and in the science libraries will provide needed information on the condition of the collections. This information is necessary for the development of preservation priorities and will add in drafting grant proposals.

Begin with Melville Library; proceed to science libraries.

Timetable: July 1994
Refer to: Preservation Librarian for coordination
Cost: Staff time of Preservation Librarian (40 - 150 hours) and student assistants.

16. Establish a Brittle Books and Preservation Reformatting Program.

Unstable environmental conditions including temperature, relative humidity, lighting, ventilation, air-borne pollutants together with inferior book structure and inherently weak materials cause "brittle books." The condition is exacerbated

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by mishandling during use and shelving. Older materials, such as those acquired by block purchase during the earlier years of the university, are especially susceptible to the brittle book problem.

A. Establish a Brittle Books and Preservation Reformatting Program.
Familiarize the selectors with the program.

B. Arrange for set up of photographic dark room for quality control check of preservation microfilm. A location for the dark room has been identified and approved. Some rearrangement of equipment and furniture is necessary.

Timetable: 1993
Refer to: Preservation Librarian
Cost: Staff time

17. Establish a Non-Print Committee to develop and implement policies for storage and use of non-print materials.

An inventory of the Stony Brook Libraries non-print conducted as part of the Collection Analysis Project revealed that the Libraries contain over 3 million microfiche, microfilms, and microcards. Stony Brook's microforms are heavily used and thus exposed to oils from the user's skin and to heat and light from library equipment.

The Libraries also have growing and heavily used collections of other non-print materials such as videos, audio cassettes, slides, reel-to-reel tape, LPs, computer discs, compact discs, and CD-ROMs. There is no central facility for the cleaning and general care of such materials.

The problems of storage temperature, physical condition of reader/printers, acid level of containers, and other maintenance issues need to be resolved on a campus-wide basis.

Timetable: January 1995
Refer to: Preservation Librarian
Cost: Staff time

18. Improve housing of collections and environment in Melville Library to meet preservation standards.

A. Investigate installation of a smoke and fire alarm system that will connect the Melville Library and all the science libraries to the local fire department.

The Library currently has no smoke and fire alarm system connected to the fire department. The Library relies on staff or patrons to detect fires and notify the Building Manager or

Fire Marshall who will in turn notify the fire department. The response time for the fire department, after receiving a phone call, is three to five minutes.

Although the cost of installing a smoke and fire alarm system is considerable, the alternative is the potential loss of the collections.

Timetable: On-going
Refer to: Preservation Librarian, Administrative Council, Facilities Committee
Cost: To be determined

B. Improve security equipment in the Melville Library stacks.

Replace poor quality security bars on doors in Melville Library stacks with better quality bars. Investigate motion detectors.

Timetable: 1995
Refer to: Associate Director, Building Manager, and Circulation Librarian
Cost: To be determined

C. Attach UV filters to lights in Melville Library stacks.

Ultra-violet filters were purchased several years ago. They have not been installed because of the labor costs associated with installation.

Timetable: 1995
Refer to: Building Manager and Head of Maintenance. Administrative Council.
Cost: To be determined

D. Improve lighting and ventilation in Preservation Department.

The Preservation Department is in a window-less room at the end of a hallway within the core of the Melville Library. The ventilation is provided by a small window in one wall and the air circulation system is inadequate to deal with the fumes produced by PVA adhesives and other materials used in repair and conservation. The light is also inadequate for the close work done in repair and conservation.

Installation of a 2' x 2' exhaust fan and two windows on the east wall of the Preservation Department would improve ventilation and lighting.

Timetable: 1993
Refer to: Preservation Librarian, Associate Director, and Building Manager.
Cost: To be determined.

III. IMPLEMENTATION STRATEGY

A. PERIODIC REVIEW

The implementation of these recommendations will result in far-reaching changes in the Collection Management Program. It is, therefore, essential that the progress and the problems of the process of implementation be reviewed and evaluated. The Study recommends:

REVIEW AND EVALUATE AT PERIODIC INTERVALS THE PROGRESS MADE AND THE PROBLEMS ENCOUNTERED IN IMPLEMENTING THE COLLECTION ANALYSIS PROJECT RECOMMENDATIONS.

The initial review and evaluation should be carried out by the Study Team or an Implementation Team appointed by the Director and Dean of Libraries in July 1994 and reported in writing to the Director. Reviews and evaluations should continue in the same format on an annual basis beginning in July 1995 and extending through the duration of the implementation period.

B. PRIORITY LIST

The Study Team has assigned priorities to above recommendations. First and Second Priority Recommendations are listed below. The recommendations are NOT ranked within the lists.

FIRST PRIORITY RECOMMENDATIONS

Number	Recommendation
1.	INCREASE EFFECTIVENESS OF COLLECTION MANAGEMENT PROGRAM
9. - 14.	DEVELOP AND DOCUMENT A RATIONAL, OBJECTIVE ALLOCATION SYSTEM
4.	COMPLETE COLLECTION DEVELOPMENT POLICY
5. - 6.	COMPLETE MANUALS (SELECTORS MANUAL, PRESERVATION MANUAL)
15.	ESTABLISH PRESERVATION PRIORITIES
16.	ESTABLISH BRITTLE BOOKS PROGRAM

SECOND PRIORITY RECOMMENDATIONS

2.	DEVELOP TRAINING PROGRAM FOR SELECTORS
17.	ESTABLISH NON-PRINT COMMITTEE
7.	INVESTIGATE STORAGE POLICIES AND PROCEDURES
3.	ENCOURAGE ONGOING COLLECTION ASSESSMENT
18.	IMPROVE HOUSING OF COLLECTIONS

TIMETABLE

1993

01-Nov-93
1.A. CD Committee

1.B. Provide Collection Management Information

1.C. Improve Communication E-mail, Routine Info, Hand-outs

2.Orientation Serials/Acq.

1994

01-Jan-94
1.B. ILL and Circ. Data

1.C. CD Column in Newsletter

3. On-going Collection Assessment

4.Complete CD Policy

5. Complete Selectors Manual

6. Complete Preservation Manual

7. Storage

01-May-94
9. Written Statement Allocation Process.

10. Use Objective Data in Allocation Process

11.Correlate Allocation Units with LC Class

12 Single Allocation: Monographs and Serials

13. Set up Contingency Fund

01-Jul-94
8. Information Access Policy

15. Pres. Priorities.

16. Brittle Book Program

1995

01-Jan-95
17. Non-print Committee

18. Improve Housing of Collections

01-May-95
14.Periodic Review of Allocation Process

01-Dec-95
2. Training Program

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